PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(01/13)

Department	Audit Process	Date & Time of Audit
Geotechnical	7.5.1 GT7	2/27/17 10:00am

Auditor(s)	Audit Objectives:
1. Ron Schreckengost 2. Allen Gemmell	Process for compaction control

Name of Auditee(s)	Auditee(s) job Function
1. Alicia Kavulic 2. Ray Suhadolnik	1. District Geotechnical Engineer 2. Geologic Specialist

Item(s) or areas audited
7.5.1 GT7 Compaction Control

Auditee Comments:

- None

<u>Plan approved by: (Management Representative)</u>

Tab Boyer

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Audit Criteria

External requirements (questions)

1. Who is responsible for reporting the nuclear density testing for embankment construction and to whom do they get reported?
2. Where are the completed forms kept?
3. How is Pass/Fail determined by non-movement and how often are the forms completed?
4. At what point does the compaction control tech perform the proctor?

External requirements (answers)

1. The compaction control technician prepares the results and provides the reports to the IIC.
2. The completed reports are kept in the project files and a copy is kept in the Geotechnical Unit.
3. The project inspector performs a visual inspection during the compaction effort and records the results daily.
4. The samples are collected at the plants and the proctors are completed at the District prior to the construction season. The IIC contacts the Geotechnicial Unit at the start of excavation for testing.

Internal requirements (questions)

1. Has the process been updated to reflect changes in the POM from previous audit?
2. Where are the reference documents located?
3. How does the IIC determine if a technician is needed on the project?
4. Who initiates when compaction is required?
5. Who determines what occurs next when a failing nuclear density result is elevated?

Internal requirements (answers)

1. Changes to the POM and Pub. 408 are not complete at this time. Process changes will be required in the future.
2. All documents are available online. Publications, plans and the contract are available in the MCDOCS on the iPads.
3. 2A is determined from the samples taken at the plant. The IIC contacts the Geotechnicial Unit for the results. A visual inspection is done on the coarseness of embankment material and the IIC contacts the Geotechnicial Unit if the material is questionable for nuclear testing.
4. The IIC contacts the Geotechnicial Unit and the Geotechnicial Unit makes the determination.
5. The field personnel and the technician collaborate to determine the reason for the failure; moisture, underlying material, segregation, bad proctor, etc. The technician typically offers guidance/suggestions as to how to fix the issue. The contractor then provides a solution that would be acceptable to the Department.

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Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. The testing of the samples taken at the plants prior to construction determines if the material is to be nuclear tested. This information is immediately conveyed to the project when requested.

Areas to consider for improvement:

1. None

Specific observed nonconformities (Findings): If Applicable, Follow-up Scheduled:

1. None

Observations and auditor comments:

1. The coordination between the field and the Geotechnicial Unit is conducted in a manner to provide the best possible outcome for controlling compaction.

Statement of overall effectiveness of the system:

- The process is implemented in an effective manner.

Distribution of Audit Report:

- Manager of area audited
- A.D.E. Construction
- ISO Management Representative

Unit Manager Comments Including Follow-Up Action: (if any)

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